

FORM PTO-1390 (Modified)
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

09669/010001

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/936,685

INTERNATIONAL APPLICATION NO.
PCT/FR00/00680INTERNATIONAL FILING DATE
17 March 2000PRIORITY DATE CLAIMED
17 March 1999

TITLE OF INVENTION

METHOD OF SECURE LOADING OF DATA BETWEEN SECURITY MODULES

APPLICANT(S) FOR DO/EO/US

Richard DOLLET

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed.(35 U.S.C. 371 (c) (2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

Notification of Missing Requirements, 2 pages

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.101) 09/936,685		INTERNATIONAL APPLICATION NO. PCT/FR00/00680		ATTORNEY'S DOCKET NUMBER 09669/010001	
--	--	--	--	---	--

24. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO **\$1040.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO **\$890.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$740.00**

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$710.00**

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE						
Total claims	- 20 =	0	x \$18.00		\$0.00				
Independent claims	- 3 =	0	x \$84.00		\$0.00				
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>					\$0.00				
TOTAL OF ABOVE CALCULATIONS =					\$130.00				
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.					\$0.00				
SUBTOTAL =					\$130.00				
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).					\$0.00				
TOTAL NATIONAL FEE =					\$130.00				
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).				<input checked="" type="checkbox"/>	\$40.00				
TOTAL FEES ENCLOSED =					\$170.00				
02/12/2002 HNGUYEN 00000077 09936685 01 FC:154 130.00 0P					<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">Amount to be refunded</td> <td style="width:50%;">\$</td> </tr> <tr> <td>charged</td> <td>\$</td> </tr> </table>	Amount to be refunded	\$	charged	\$
Amount to be refunded	\$								
charged	\$								

CALCULATIONS PTO USE ONLY

a. ☒ A check in the amount of \$170.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-0591 . A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

ROSENTHAL & OSHA L.L.P.
 1221 McKinney Avenue, Suite 2800
 Houston, Texas 77010

Telephone: 713-228-8600
 Facsimile: 713-228-8778

SIGNATURE

Jonathan P. Osha
NAME

33,986
REGISTRATION NUMBER

 2/7/02
DATE

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No. 09669/010001
Applicant(s): Richard DOLLET			
Serial No. 09/936,685	Filing Date September 17, 2001	Examiner	Group Art Unit
Invention: METHOD OF SECURE LOADING OF DATA BETWEEN SECURITY MODULES			
<p>I hereby certify that this <u>Assignment</u> _____ (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C. 20231-0001 on <u>February 8, 2002</u> (Date)</p> <p style="text-align: right;">_____ Tawana L. Garcia (Typed or Printed Name of Person Mailing Correspondence)</p> <p style="text-align: right;">_____ <i>Tawana L. Garcia</i> (Signature of Person Mailing Correspondence)</p> <p style="text-align: right;">_____ EV049243538 US (<i>"Express Mail"</i> Mailing Label Number)</p>			
<p style="text-align: center;">Note: Each paper must have its own certificate of mailing.</p>			

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Richard DOLLET			Docket No. 09669/010001
Serial No. 09/936,685	Filing Date September 17, 2001	Examiner	Group Art Unit
Invention: METHOD OF SECURE LOADING OF DATA BETWEEN SECURITY MODULES			
<p>I hereby certify that this <u>Response to Notice of Missing Requirements</u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.</p> <p>20231-0001 on <u>February 8, 2002</u> (Date)</p> <p style="text-align: right;">Tawana L. Garcia (Typed or Printed Name of Person Mailing Correspondence)</p> <p style="text-align: right;"><u>Tawana L. Garcia</u> (Signature of Person Mailing Correspondence)</p> <p style="text-align: right;"><u>EV 049243538 US</u> (<i>"Express Mail"</i> Mailing Label Number)</p>			
<p style="text-align: center;">Note: Each paper must have its own certificate of mailing.</p>			



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
 United States Patent and Trademark Office
 Washington, D.C. 20231
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/936,685	Richard Dollet	09669/010001

22511
 ROSENTHAL & OSHA LLP
 SUITE 4550
 700 LOUISIANA
 HOUSTON, TX 77002

RECEIVED

DEC 20 2001

ROSENTHAL & OSHA LLP.

INTERNATIONAL APPLICATION NO.

PCT/FR00/00680

LA. FILING DATE

PRIORITY DATE

03/17/2000

CONFIRMATION NO. 8964

371 FORMALITIES LETTER



OC000000007172796

Date Mailed: 12/13/2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination

Docketing	
Action:	Missing Parts (2 Mo)
Base Date:	12.13.01
Due Date:	2.13.02
Deadline:	7.13.02
Initials:	gjb
Atty/Sec. Initials:	

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed

to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

LAMONT M HUNTER

Telephone: (703) 305-3686

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/936,685	PCT/FR00/00680	09669/010001